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ABSTRACT

The technical service procedures of the State University of New Yerk at Buffalo are described. This is part of a series of Technical Reports on Technical Services by the Five Associated University Libraries' (FAUL) Central Systems Group to view the internal operations of each library in comparisen with thcse cf other FAUL libraries. The three aspects of library technical processing that were viewed are: (1) acquisitions, (2) precataloging and verificatien and (3) cataloging. Excluded from this study are procedures dealing with non-book materials; periodicals and serials; circulation ccntrol; and public services, which include reference and interlibrary lcan activities. No ccnstructive suggestions for change are made. The textual section is followed by numerous charts of the formal structure of the organizatien and functional flow diagrams of the organizatien's activities. (MF)

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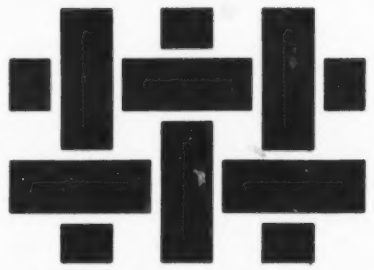

(v)

A STUDY OF

TECHNICAL SERVICES OPERATIONS

IN THE LIBRARIES OF THE

STATE UNIVERSITY OF NEW YORK AT BUFFALO

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FAUL TECHNICAL REPORT ON TECHNICAL SERVICES
R.N. TRTS 70-1

(2) *A STUDY OF*

TECHNICAL SERVICES OPERATIONS

IN THE LIBRARIES OF THE

STATE UNIVERSITY OF NEW YORK AT BUFFALO

by (1) Ronald Miller D.O.
Bernard Bayer
Frederick Balfour

with the editorial assistance
of Teresa Strozik

(5) JUNE 1970

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1.0 INTRODUCTION TO THE SERIES

This document is part of a series of Technical Reports on Technical Services by the FAUL Central Systems Group. The purpose of this series is to describe procedures used in technical services operations in the five library systems.

These reports should serve to aid administrators and systems people in member libraries, as well as the FAUL Central staff, to view internal operations of each library in comparison with those of other FAUL libraries. Such a comparison should disclose some areas of commonality whereby cooperative activities can be strengthened and developed. Presumably, areas where cooperative development is, for the moment, impossible will also be discovered. In either case preliminary supporting data will be produced as a result of this effort.

In the long run, the character of the FAUL organization will gradually be defined. Whether it will become a service bureau, a super library, a library's library, a staff of specialists, or a political lobby, are some of the possible characteristics which may become dominant. Indeed, it might be revealed that priorities within the organization should be re-appraised because problems are identified and solved in other more effective contexts.

1.1 FAUL Central Systems Group

The people who comprised the team that conducted this study were Ron Miller, project leader, Frederick Balfour, Bernard Bayer, and John Welte. With the exception of Mr. Miller, these men were assigned to the study by the Technical Information Dissemination Bureau at SUNY-Buffalo. In the case of the SUNY-Buffalo study the local member of the team was Dr. Alexander Cain, Head of Systems and Research in the SUNY-Buffalo Libraries.

1.2 Operational Definition of Technical Services

The FAUL Systems Committee, composed of senior staff people from each member library, broadly defined the area to be studied by the FAUL Central Systems Group in each of the five libraries. In general, the scope was adapted from Tauber who states that technical services are those "services involving the operations and techniques for acquiring, recording, and preserving materials" 1/ Tauber also includes the activities of cataloging, classification, binding and photographic reproduction in his discussion. This scope was found to be too broad for the Systems Group to handle conveniently in the time available. Therefore explicit boundaries were placed around the study: technical services would include that portion of library operations which begins at the point when a book is requested to be acquired by the library, and ends when the book is ready for circulato a library user.

Intentionally excluded from this study are procedures dealing with non-book materials, periodicals and serials, and circulation control. Public services, which include reference and interlibrary loan activities (among others), are also excluded in the operational definition. These areas may be studied at a later time.

1.3 Conduct of the Study

Members of the Central Systems Group met with the local team member, in this case Dr. Cain, and obtained general information, organizational patterns, and introductions to the appropriate staff members. A series of interviews with technical services staff members were made during a five-day period. The information obtained included flow patterns, staff strengths and grade levels, units processed, various forms and internal management reports. These data were compiled and displayed in draft format by the members of the Group, then reviewed by supervisory personnel in technical services at SUNY-Buffalo. Appropriate adjustments were made, and the revised report submitted to the chief library administrators for comment. They approved the report.

1/ Maurice Tauber. Technical Services in Libraries. New York, Columbia University Press, 1953. p. 4.

This general procedure will be followed at each of the remaining four FAUL libraries and similar reports will be written. At the conclusion of this round, a summary report recommending next steps to be taken by FAUL, will be submitted to the Board of Directors.

1.4 Acknowledgements

In addition to the help provided by Alexander Cain, the investigators wish to thank the members of the Technical Services Division at SUNY-Buffalo for their cheerful assistance and readiness to cooperate in a process which necessarily disrupts daily routine and adds to heavy work loads. Thanks are especially offered to Mr. Kent Schriefer, Head of Technical Services, Miss Margaret Johnston, Mrs. Iva Mostecky, and Mrs. Mildred Hallowitz for their eager and good-natured support of the study.

1.5 The Report

This report presents the text first with the figures and tables grouped in separate sections at the back.

2.0 TECHNICAL SERVICES AT THE STATE UNIVERSITY OF NEW YORK AT BUFFALO

At SUNY-Buffalo, technical service functions falling within the operational definition described in the introduction are grouped within the Technical Services Division. Acquisitions, Precataloging and Verification, and Cataloging are central functions, physically located on the ground floor of the Lockwood Memorial Library (Annex A), the main SUNY-Buffalo library.

In addition, the six libraries -- Health Sciences, Science and Engineering, Law, Art, Music, and Ridge Lee (Mathematics) -- do some acquisitions and cataloging work autonomously. The administrative and functional relationships are shown in Figures 1 and 2.

2.1 Acquisitions Department

At the most general level, staff members of the Reference Department decide what books to buy and the Acquisitions Department buys them (Figure 3). In this process, numerous files are created for accounting and status control purposes. The librarians who decide what books to buy are part of the Reference Department, and work half time as book selectors. They initiate book requests, approve orders from faculty members and students, and select books that are received on approval from outside vendors, such as Richard Abel and Company, and from individual university presses. In the case of the Abel arrangement, these books are called ELAP (English Language Approval Plan) books.

Approved book requests and selected ELAP books go first to the Precataloging and Verification Department for citation verification and holdings check. They are then processed by the Acquisitions Department's Order Section, as shown in Figures 4A and 4B. The section initiates a 7-part order form to purchase a book, and processes the 11-part form, which comes with ELAP books from Abel. The cancelling of orders is shown in Figure 4C.

In addition, the Acquisitions Department handles the receipt of books that have been ordered and maintains the necessary control files for all stages and types of orders (Figure 5A). Figure 5B shows the steps necessary to insure that the book ordered is the one received.

The Department also processes the paper work so that the book dealers will get paid for the books bought by the library (Figure 6).

2.2 Precataloging and Verification Department

After an item is requested, or an ELAP book is selected, the written information describing the book is verified by the Precataloging and Verification (PCV) Department. Its organization is shown in Figure 7.

In this process, PCV checks each request for accuracy and determines if the library already owns the book or if an order is being processed for either the same item or a variant edition. Then the LC Depository Card files are checked against the request form; if copy exists the LC card is pulled. If there is no LC card, the PCV Department obtains precataloging information from other sources, such as the National Union Catalog. This process is shown in Figure 8. Much of the time, information from alternate sources is recorded photographically. No measurements of frequency or cost were taken from this process.

2.3 Cataloging Department

Once a book has been ordered and received, or selected from ELAP books, and has passed through the precataloging and verification process, it is cataloged by the Cataloging Department. (See Figure 9.)

The cataloging process includes assigning call numbers, verifying descriptive data, adding subject headings and added entries, producing catalog cards, maintaining card files, and physically stamping and marking the book to prepare it for placement on a reference shelf, hold shelf, or various stack areas ready for circulation.

Three sections of the Cataloging Department do original cataloging: Arts and Letters, Social Sciences, and Serials. The first two sections follow the procedures shown in Figure 10. (As noted on page 2, the Serials Section was not studied). In these sections the staffs are responsible for classifying all books not represented in the LC Depository Card file. The librarians establish the main entry, assign subject headings and call numbers, and provide all of the other necessary information needed to produce a master catalog card from both the book in hand and from secondary sources found and forwarded by the PCV staff.

A separate section catalogs the book if there is an LC Depository Card on file. This is the case for about 40% of the monographs currently received. This procedure is diagrammed in Figure 11.

Four groups support the work of the cataloging sections mentioned above:

(1) Card Typing Group types master catalog cards from FAUL and other worksheets prepared by the three sections producing original cataloging copy; types call numbers and holdings on LC Depository Cards; types added entries on card sets, and files and refiles LC Depository Cards (see Figure 12A).

(2) Card Reproduction Group prints copies of master catalog cards for various catalogs throughout the library system (see Figure 12B).

(3) Catalog Maintenance Group arranges and files all cards in the Main Catalog and Shelf List in Lockwood, types guide cards, and updates the Catalog. (see Figure 12C).

(4) Book Care Group stamps and marks all identification symbols on library materials (see Figure 12D) and repairs them.

All of these activities are performed centrally at the Lockwood Library.

In addition, monographic cataloging is performed at four branch libraries: Law, Health Sciences, Science and Engineering,and Music. The librarians engaged in cataloging at the four locations are administratively part of the central Cataloging Department. Some technical processing is also performed in the Government Documents Library, which is part of the Reader Services Division, in Lockwood Library.

The cataloging activities at four of these locations are outlined in Figure 13.

3.0 MANPOWER

Technical Processing involves 73 people in the University Libraries. There are also many temporary services people who work part time. The professional, clerical and part-time manpower engaged in the technical services activities is summarized in Table I and detailed in Tables II through IV for the three departments engaged in Technical Processing.

4.0 OUTPUT

In the year from April 1, 1968 through March 31, 1969, 149,892 volumes, including serials, were ordered and received. During the same period, 63,108 volumes representing 42,690 different titles were cataloged.

The head of the Cataloging Department estimates an average cataloger at SUNY-Buffalo produces original copy for 6-10 volumes per day. Cataloging rates of books for which copy is available on LC Depository Cards could not be estimated because the group performing that work had only recently been established.

5.0 PRELIMINARY OBSERVATIONS

In general, the technical service functions at SUNY-Buffalo appear to be well organized; the people generally amiable and dedicated. The FAUL Systems Group has at the moment no constructive suggestions for change, since this is not one of the purposes of this report, nor has enough reliable data been gathered to do so.

Some general observations can be made. System efficiency as a concept is a measure of the capacity of a system to satisfy its objectives with a minimum of wasted resources and time. In a production-line situation, it is a relatively simple matter to isolate inputs and outputs of a system, then determine what happens in-between. Libraries are not so neat, e.g.

is it worth $1, $10, $100, $1,000 to acquire and prepare a book and supply it to users? Apparently no one knows, but from the administrator's point of view, any cost is too high. Therefore, describing how things are done in each library without making premature judgments about the justification for doing them or the relative efficiency of comparable operations is a reasonable first task. In general, the mental set of the investigators during a later analysis phase will be : "why do something well which may not need doing at all?"

In general, the investigators were pleased at the way the staff at SUNY-Buffalo had been prepared. It appeared that the Group was not viewed as a threat or with undue suspicion. If the other FAUL libraries are as receptive, the full series of studies should be accomplished with a minimum of misunderstanding and delay.

6.0 FIGURES

This section contains the figures referred to in the text. In general, a chart of the formal structure of the organization under study precedes functional flow diagrams of the organizations's activities.

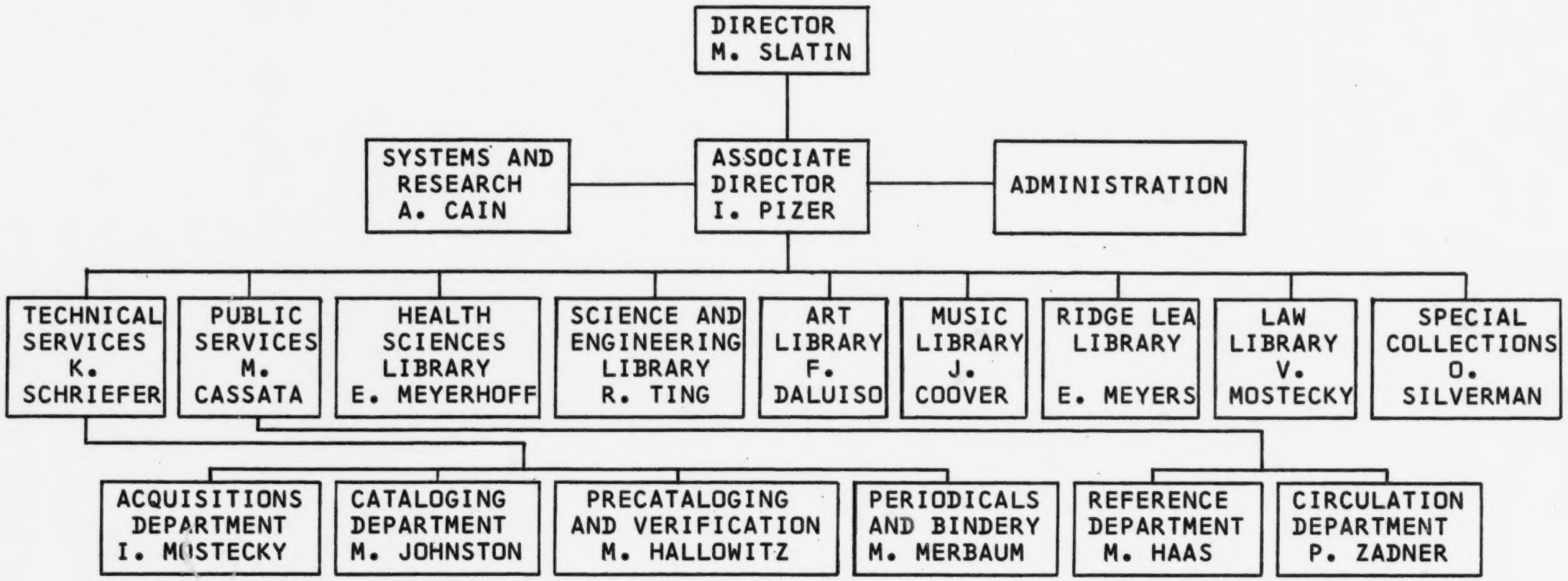
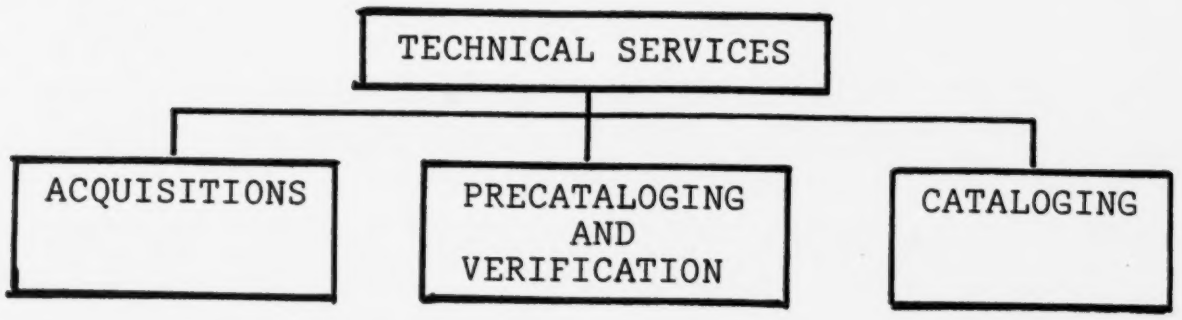
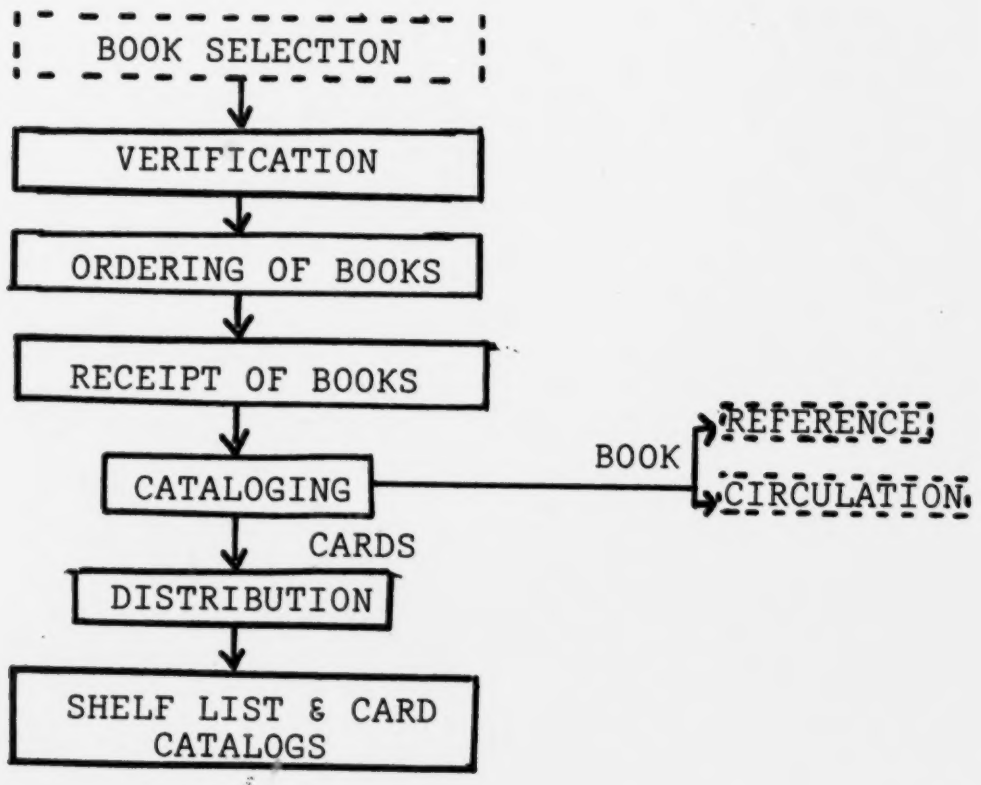


FIGURE 1. ADMINISTRATIVE ORGANIZATION OF UNIVERSITY LIBRARIES AT SUNY-BUFFALO AS OF MARCH 1970



A. ADMINISTRATIVE ORGANIZATION

NOTE:
FUNCTIONS IN SOLID BOXES ARE PART OF TECHNICAL SERVICES



B. FUNCTIONAL DIAGRAM

FIGURE 2. TECHNICAL SERVICES AT SUNY-BUFFALO MARCH 1970

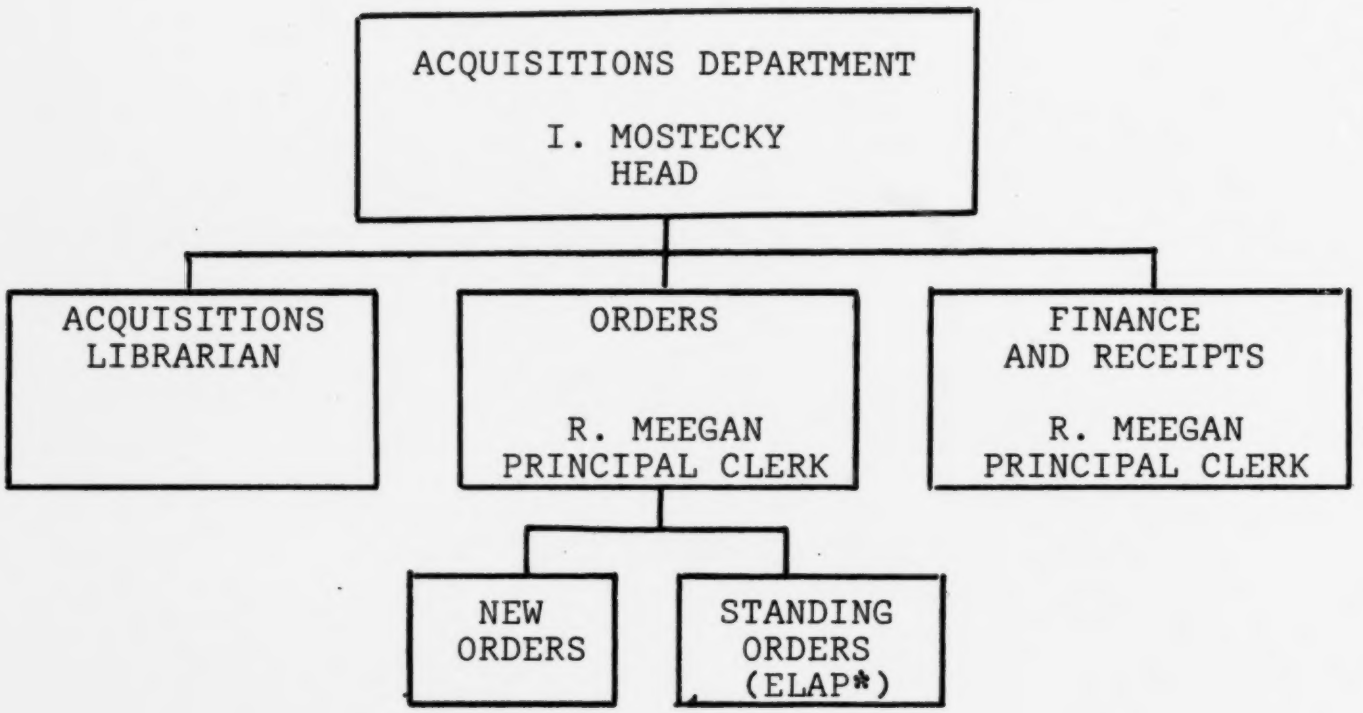
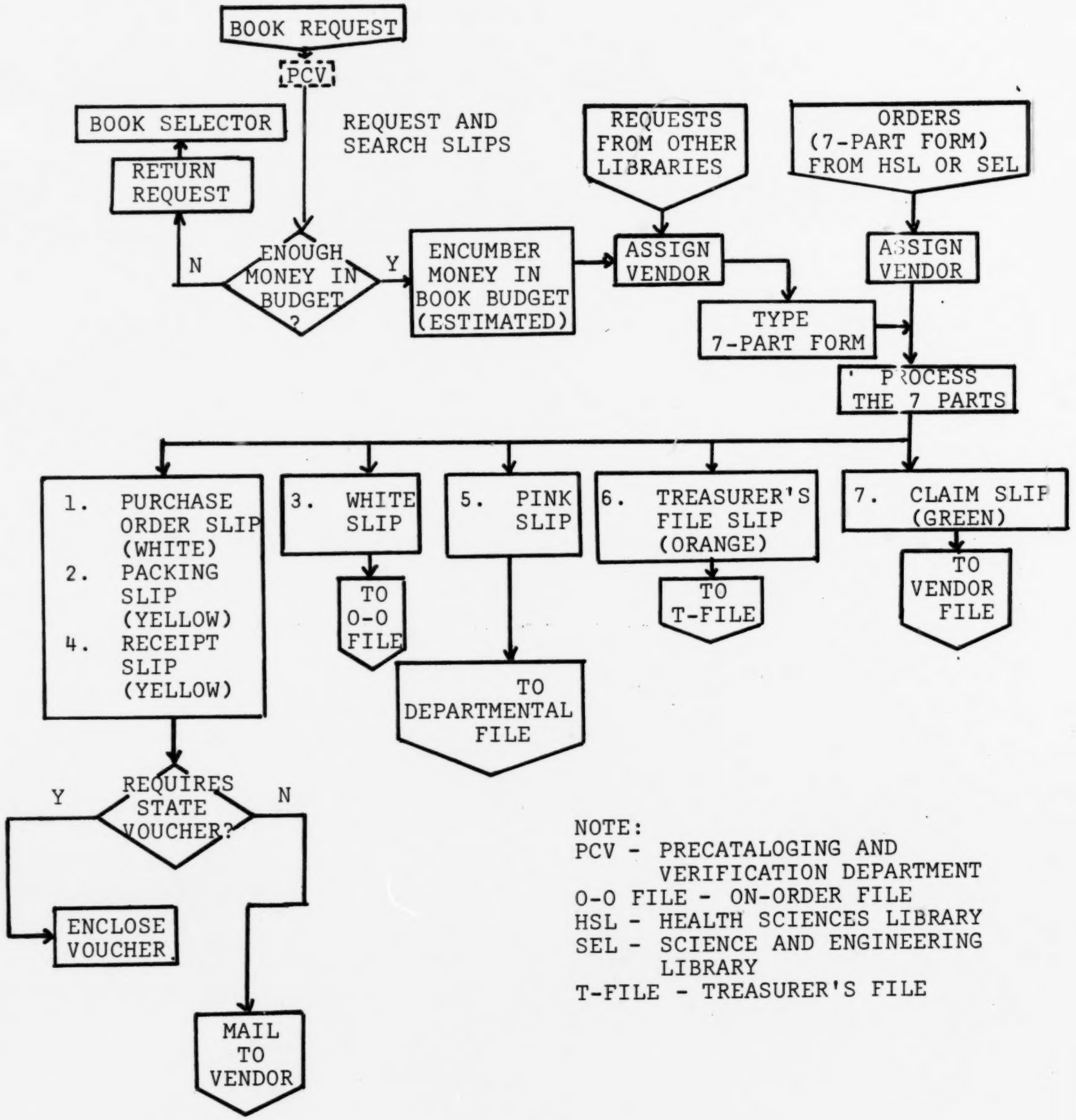


FIGURE 3. ADMINISTRATIVE ORGANIZATION OF ACQUISITIONS DEPARTMENT MARCH 1970

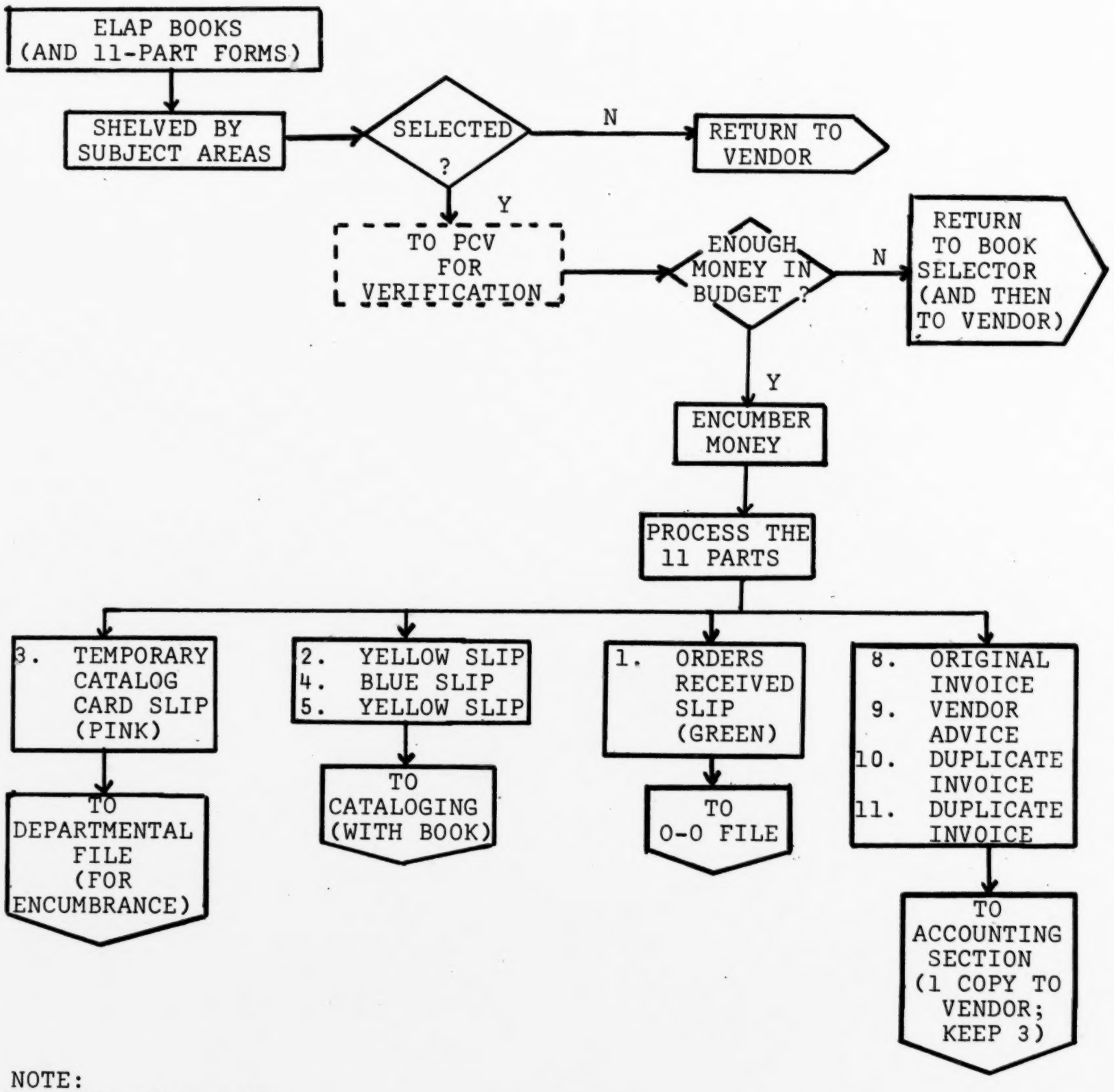
* English Language Approval Plan (Abel)



NOTE:
PCV - PRECATALOGING AND VERIFICATION DEPARTMENT
O-O FILE - ON-ORDER FILE
HSL - HEALTH SCIENCES LIBRARY
SEL - SCIENCE AND ENGINEERING LIBRARY
T-FILE - TREASURER'S FILE

A. NEW ORDERS

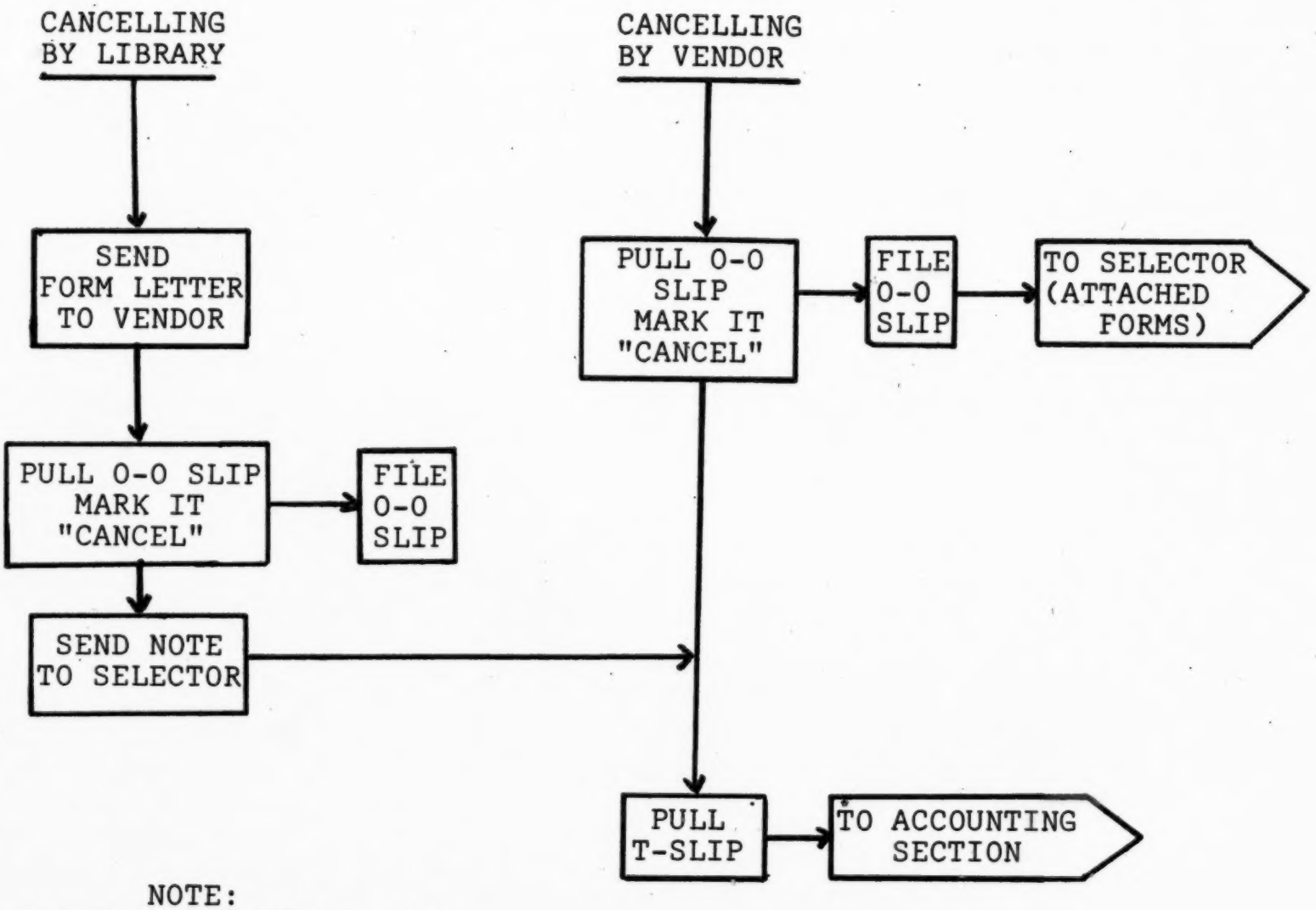
FIGURE 4. ORDER SECTION OF ACQUISITIONS DEPARTMENT FLOW MARCH 1970



NOTE:
THE TWO GOLD SLIPS
ARE DESTROYED.

B. ENGLISH LANGUAGE APPROVAL PROGRAM (ELAP)

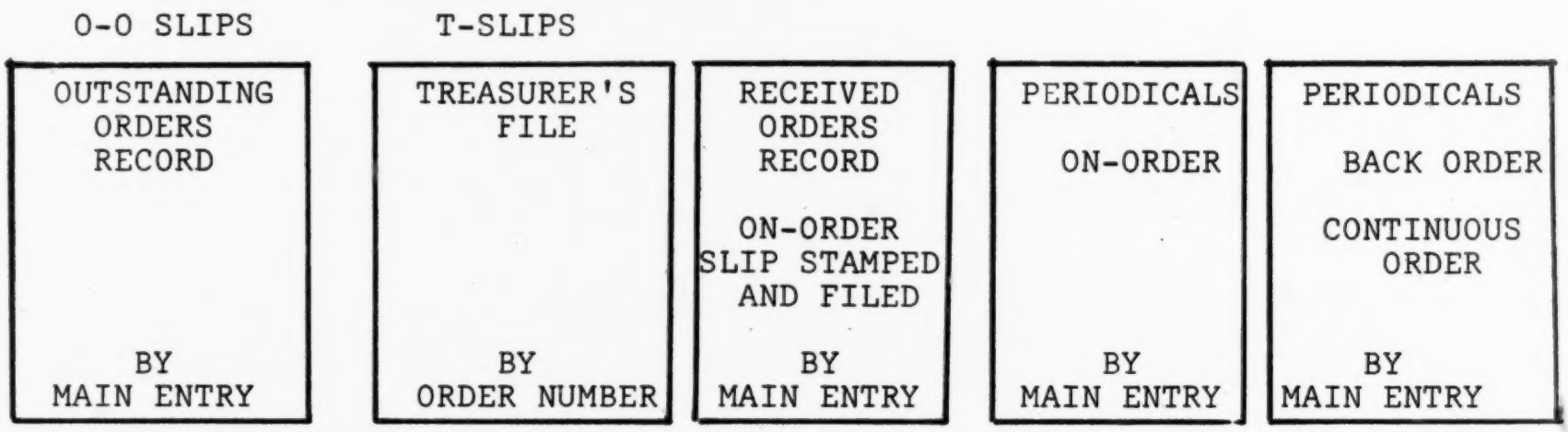
FIGURE 4. CONTINUED



NOTE:
T-SLIP=TREASURER'S SLIP

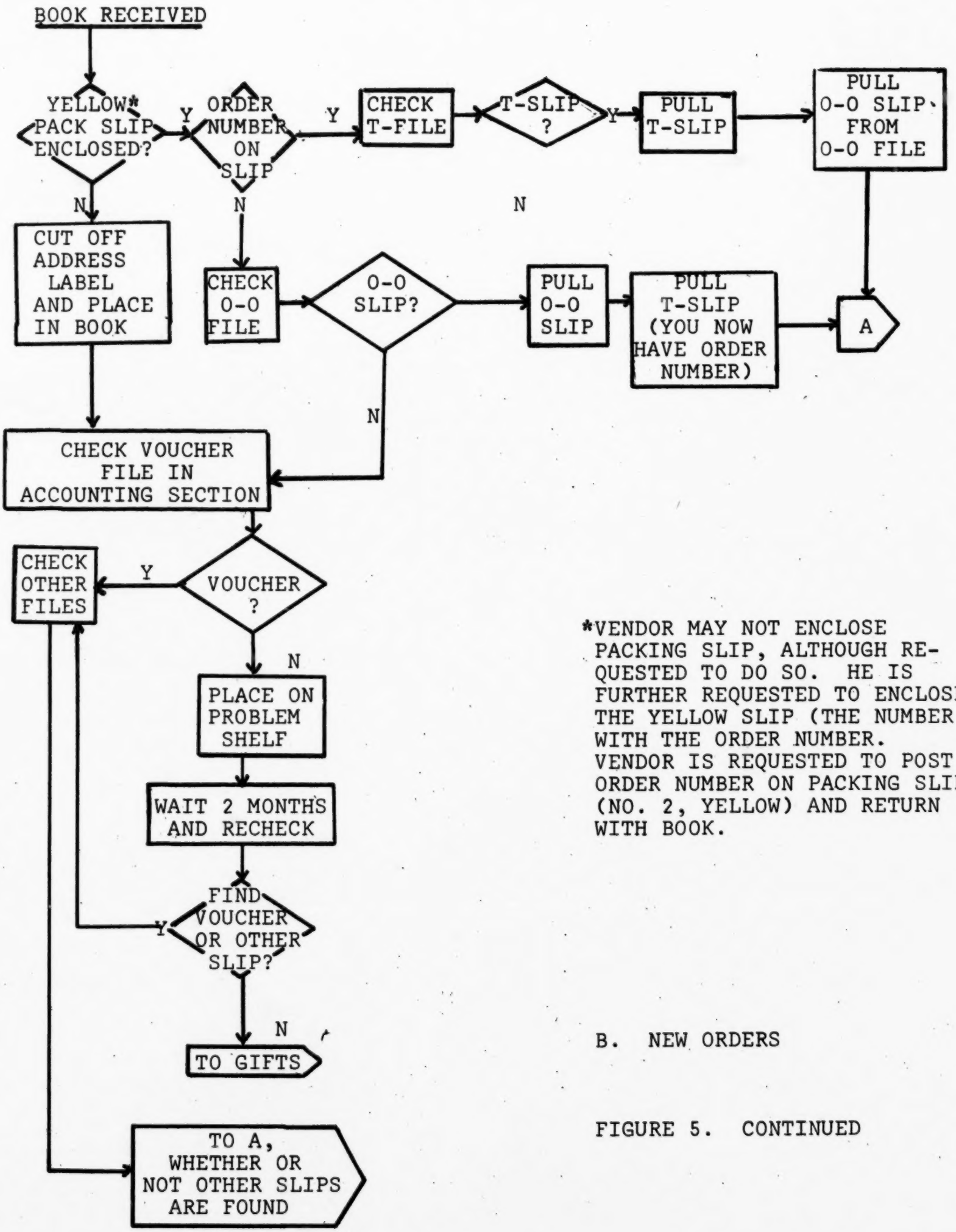
C. CANCELLING OF ORDERS PLACED WITH VENDORS

FIGURE 4. CONTINUED



A. FILES MAINTAINED

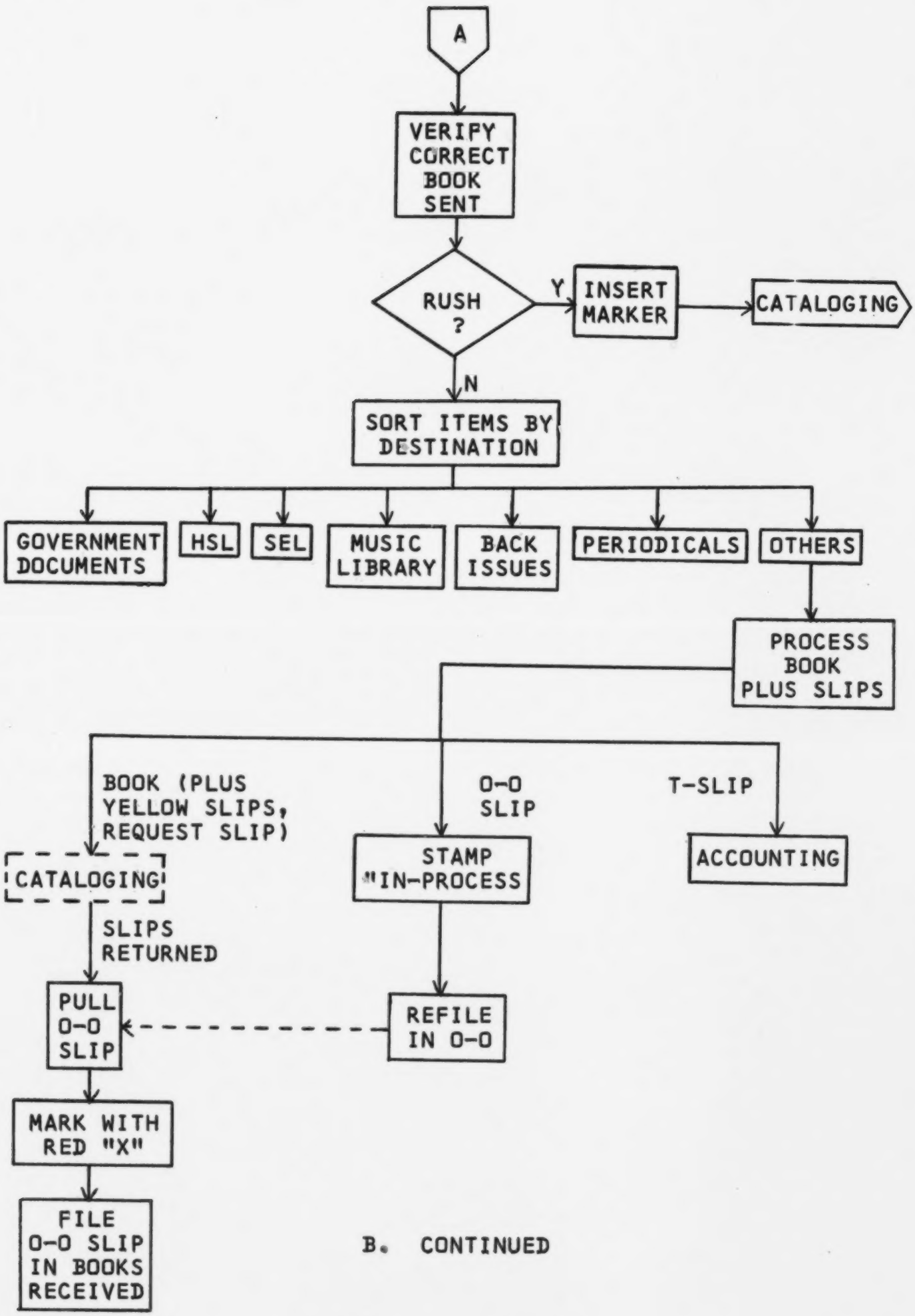
FIGURE 5. RECEIPTS SECTION OF ACQUISITIONS DEPARTMENT FLOW MARCH 1970



*VENDOR MAY NOT ENCLOSE PACKING SLIP, ALTHOUGH REQUESTED TO DO SO. HE IS FURTHER REQUESTED TO ENCLOSE THE YELLOW SLIP (THE NUMBER 2) WITH THE ORDER NUMBER. VENDOR IS REQUESTED TO POST ORDER NUMBER ON PACKING SLIP (NO. 2, YELLOW) AND RETURN WITH BOOK.

B. NEW ORDERS

FIGURE 5. CONTINUED



B. CONTINUED

FIGURE 5. CONTINUED

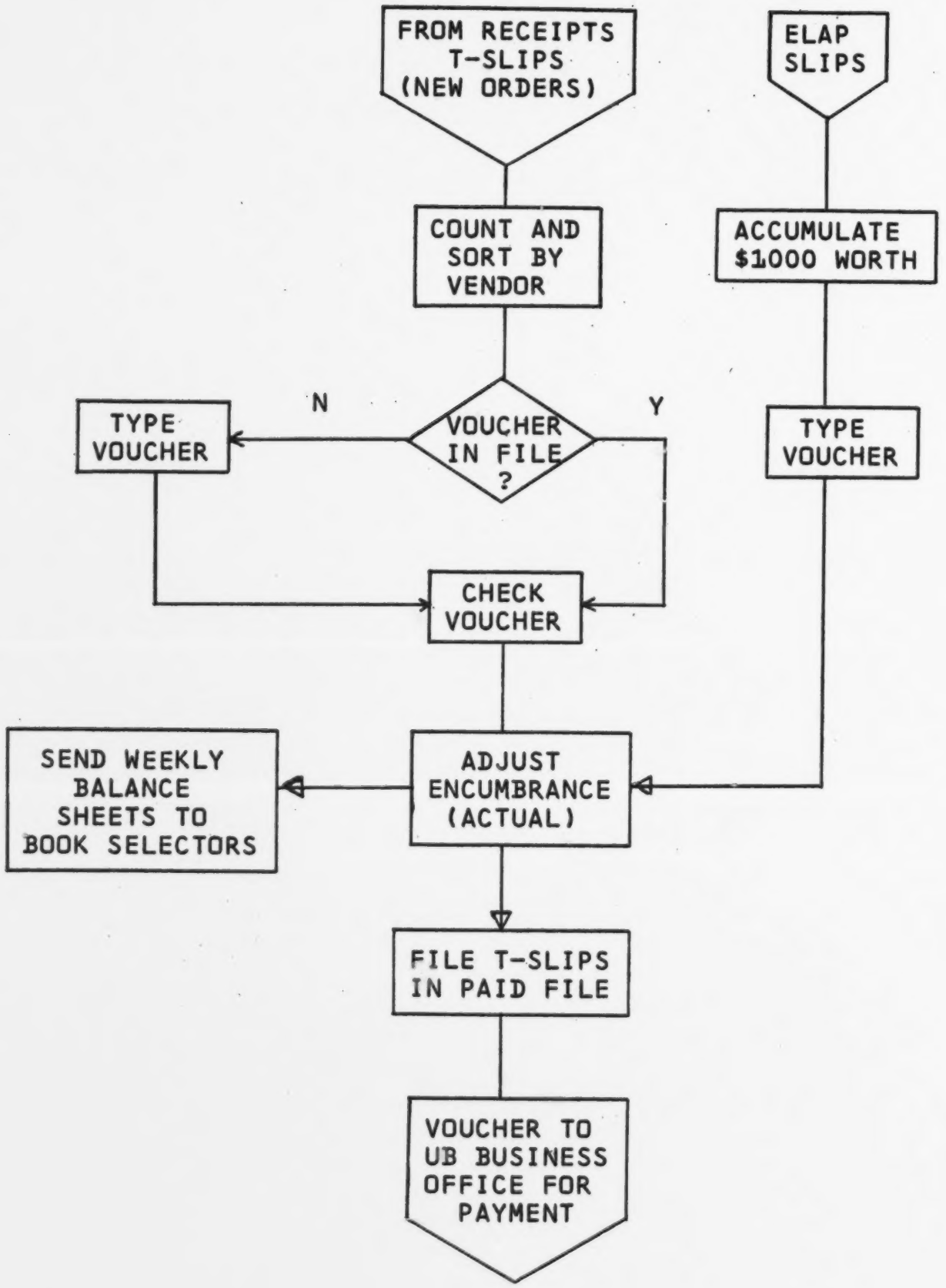


FIGURE 6. ACCOUNTING SECTION
OF ACQUISITIONS DEPARTMENT FLOW
MARCH 1970

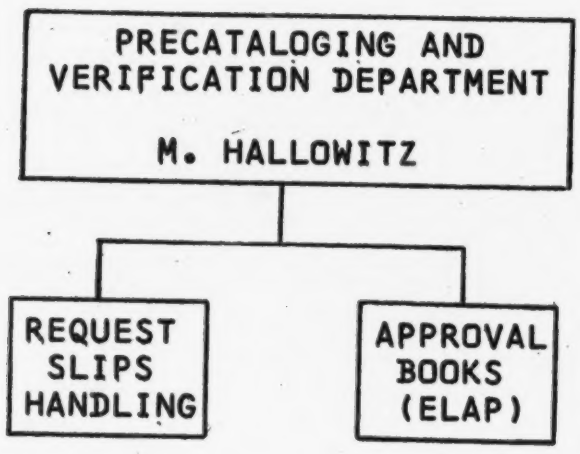


FIGURE 7. ADMINISTRATIVE ORGANIZATION
OF PRECATALOGING AND
VERIFICATION DEPARTMENT
MARCH 1970

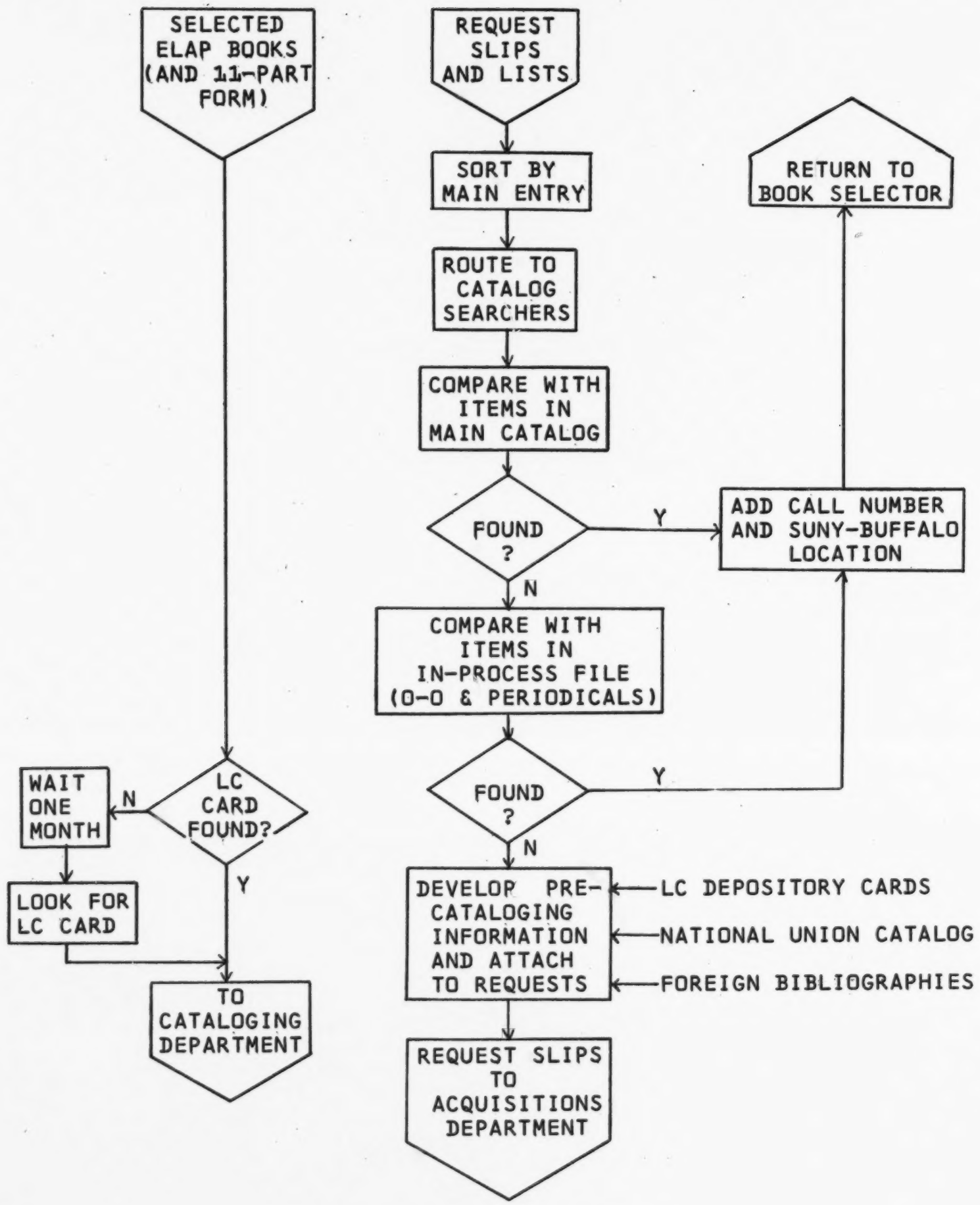


FIGURE 8. PRECATALOGING AND VERIFICATION DEPARTMENT WORK FLOW MARCH 1970

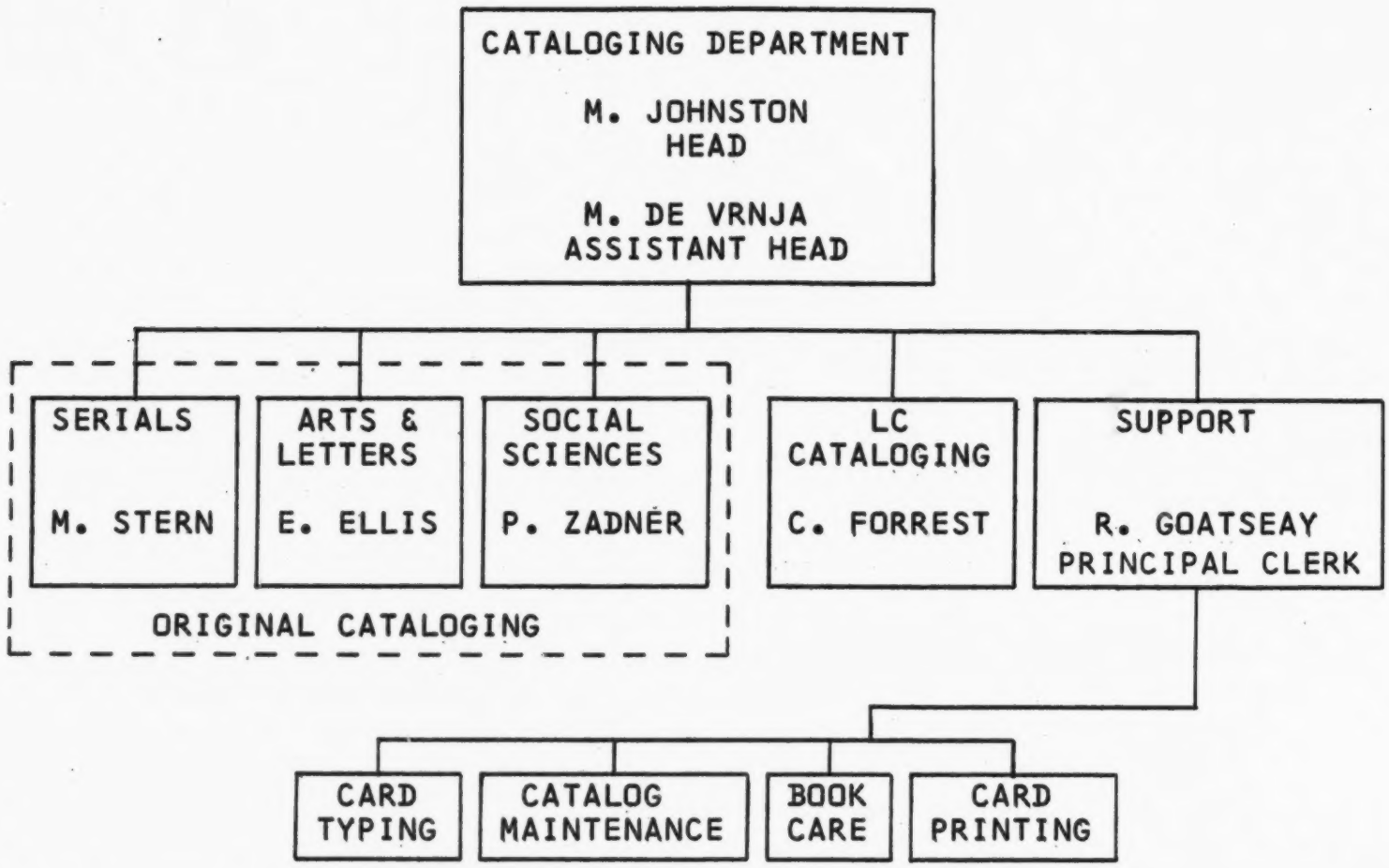


FIGURE 9. ADMINISTRATIVE ORGANIZATION OF CATALOGING DEPARTMENT MARCH 1970

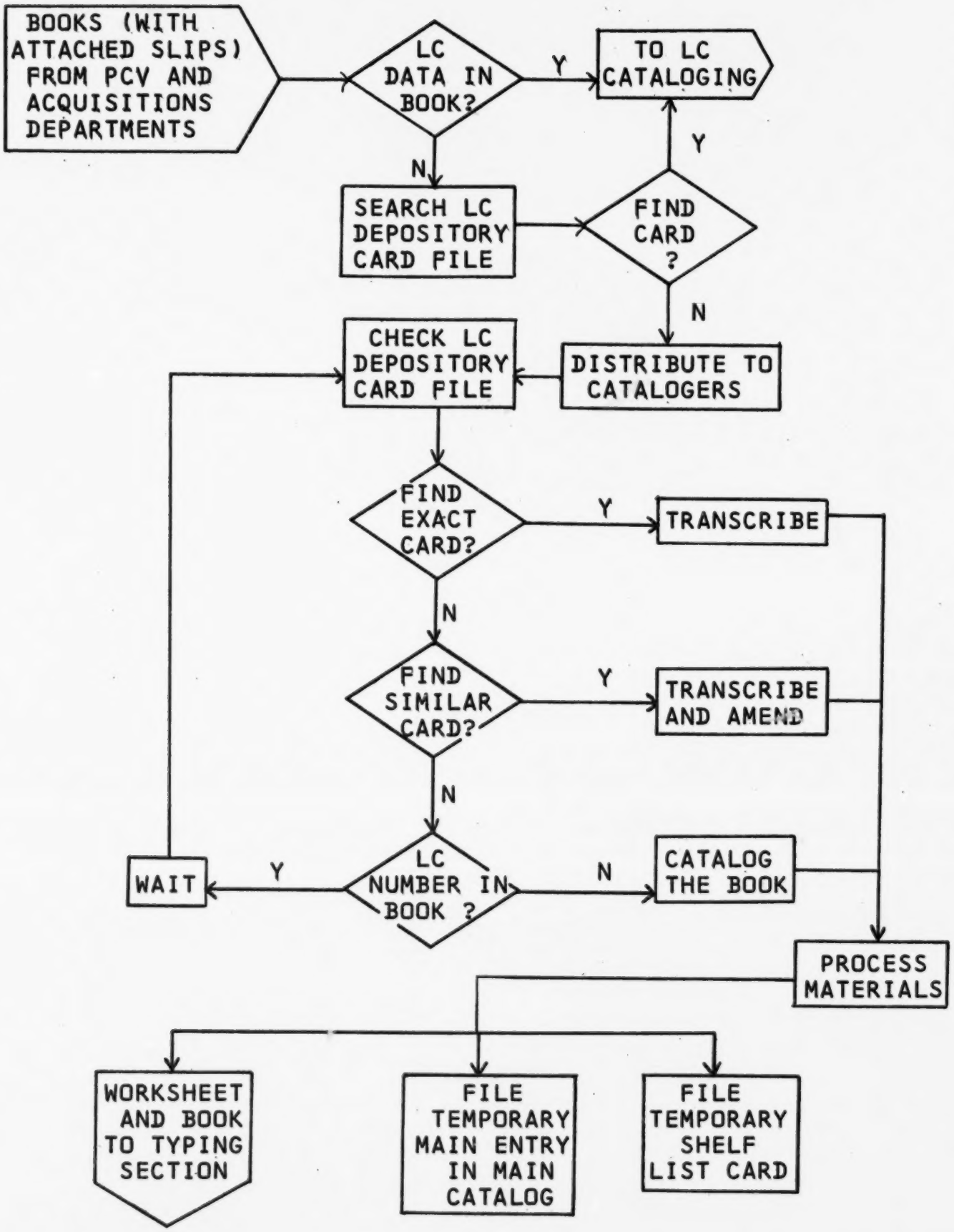


FIGURE 10. ORIGINAL CATALOGING WORK FLOW
MARCH 1970

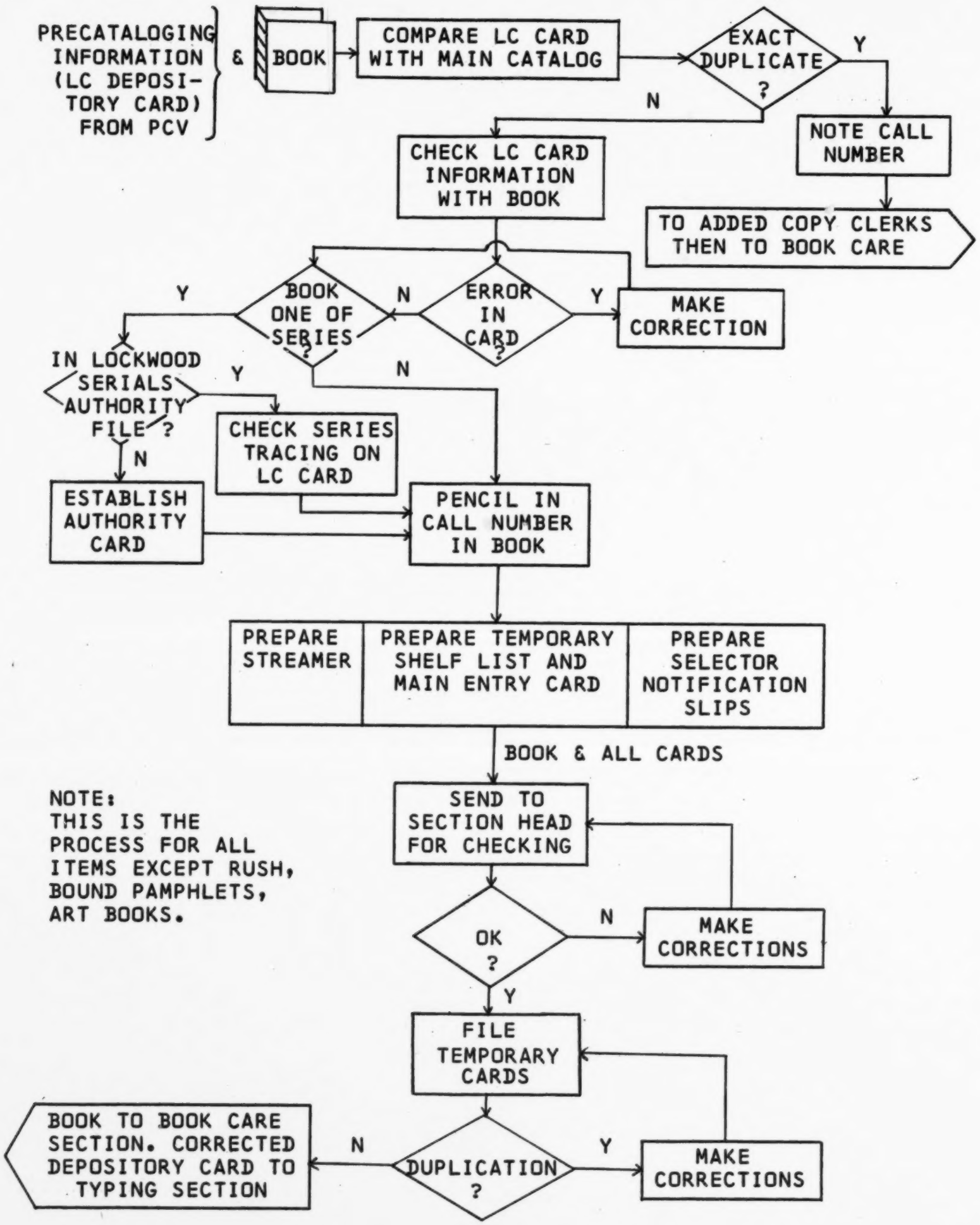
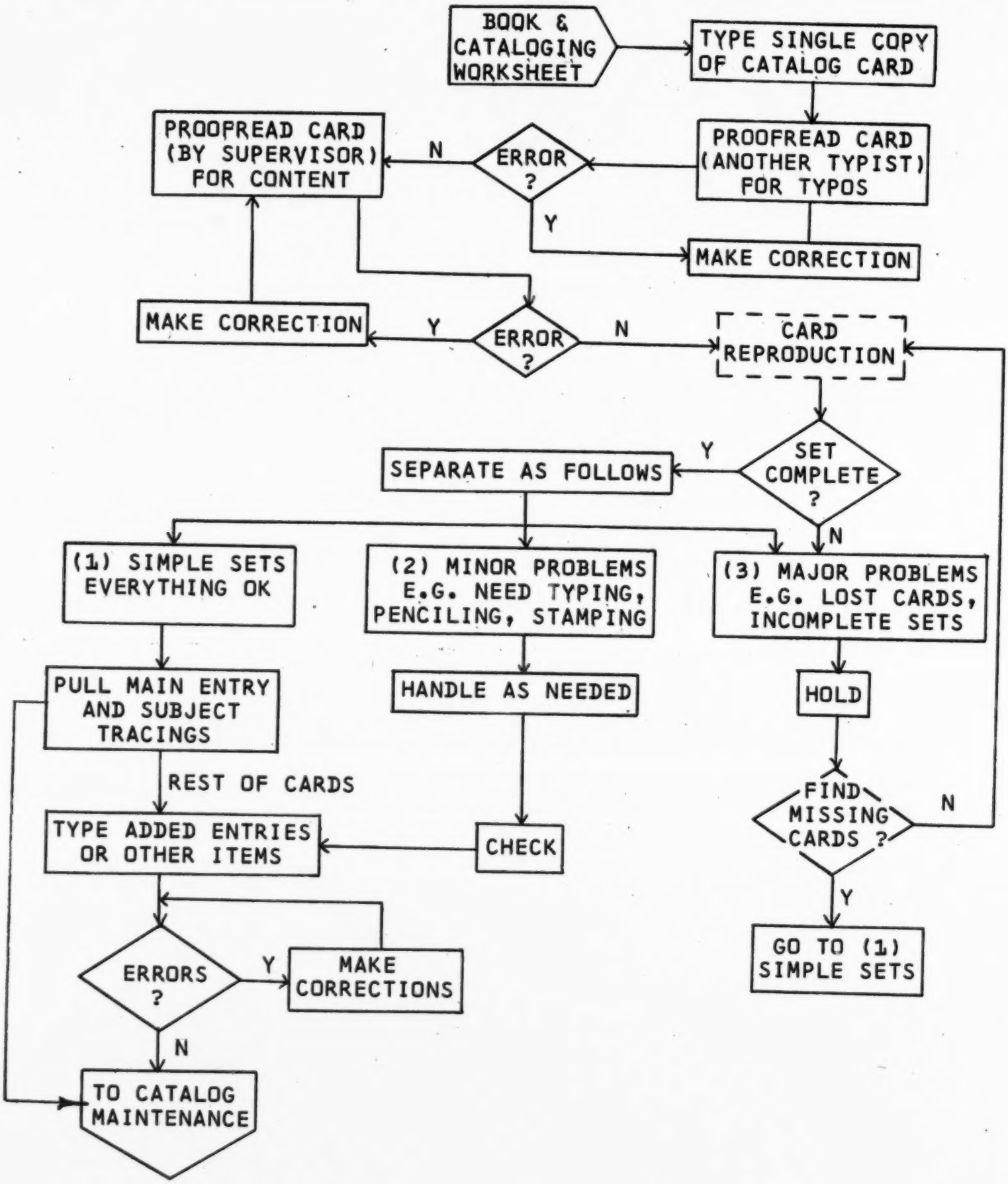
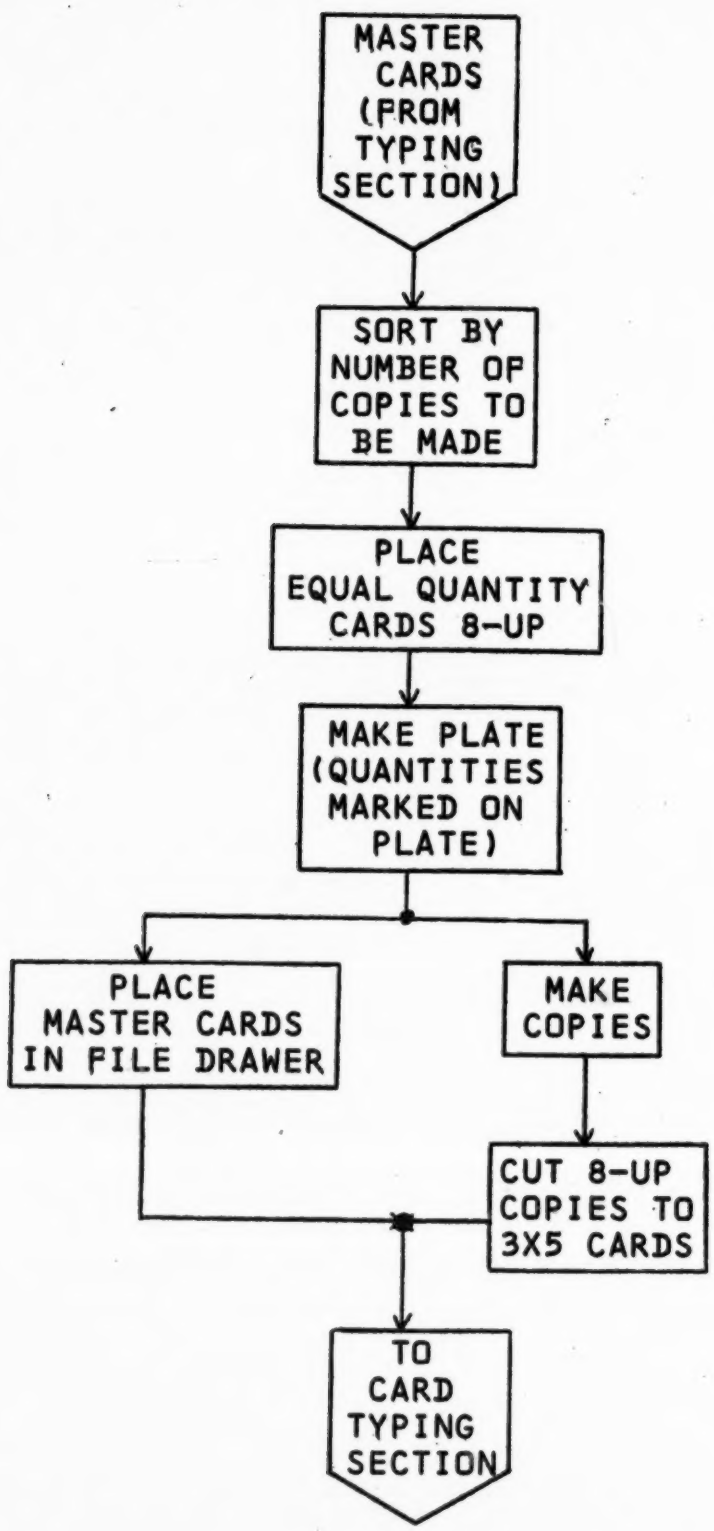


FIGURE 11. LC CATALOGING WORK FLOW



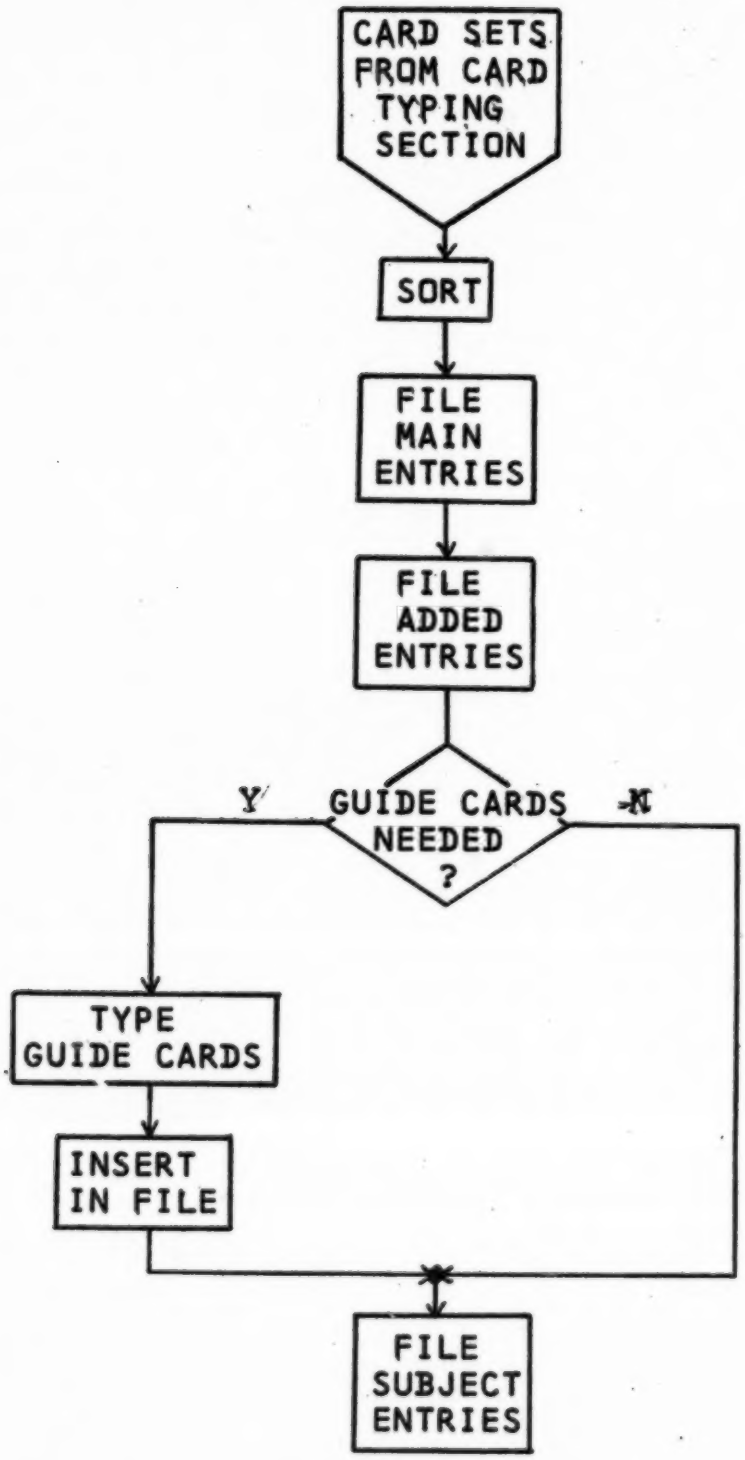
A. CARD TYPING SUPPORT GROUP

FIGURE 12. CLERICAL SUPPORT SECTIONS WORK FLOW
MARCH 1970


MASTER CARDS (FROM TYPING SECTION)
SORT BY NUMBER OF COPIES TO BE MADE
PLACE EQUAL QUANTITY CARDS 8-UP
MAKE PLATE (QUANTITIES MARKED ON PLATE)
PLACE MASTER CARDS IN FILE DRAWER
MAKE COPIES
CUT 8-UP COPIES TO 3X5 CARDS
TO CARD TYPING SECTION

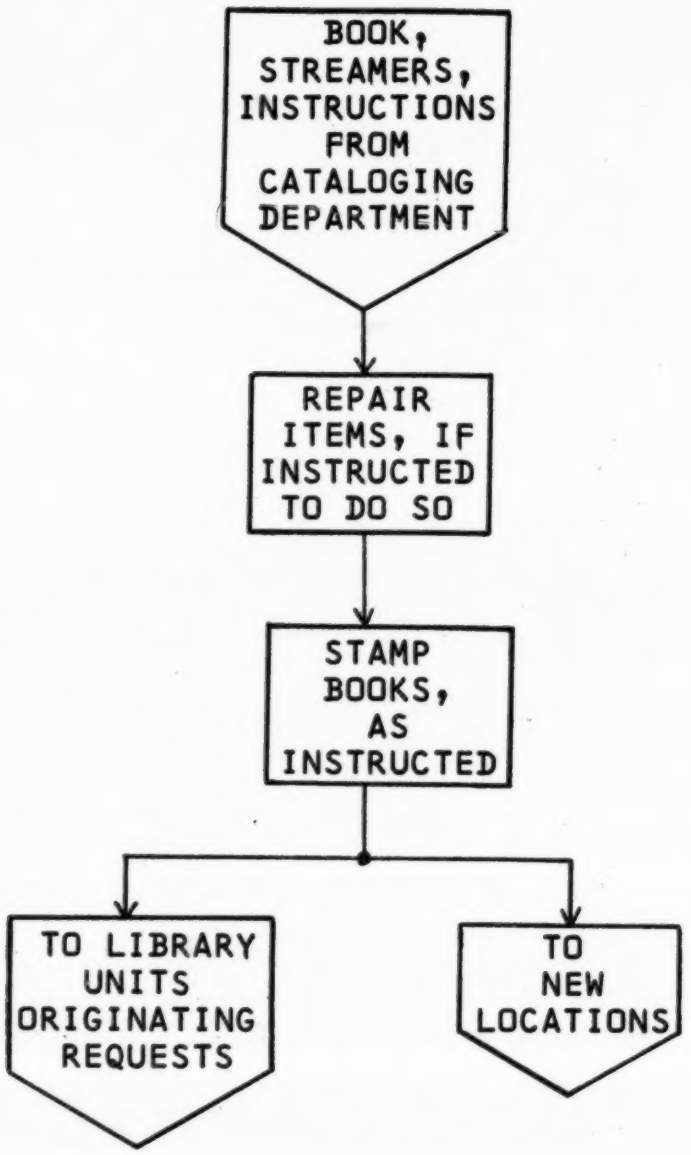
B. CARD REPRODUCTION UNIT

FIGURE 12. CONTINUED



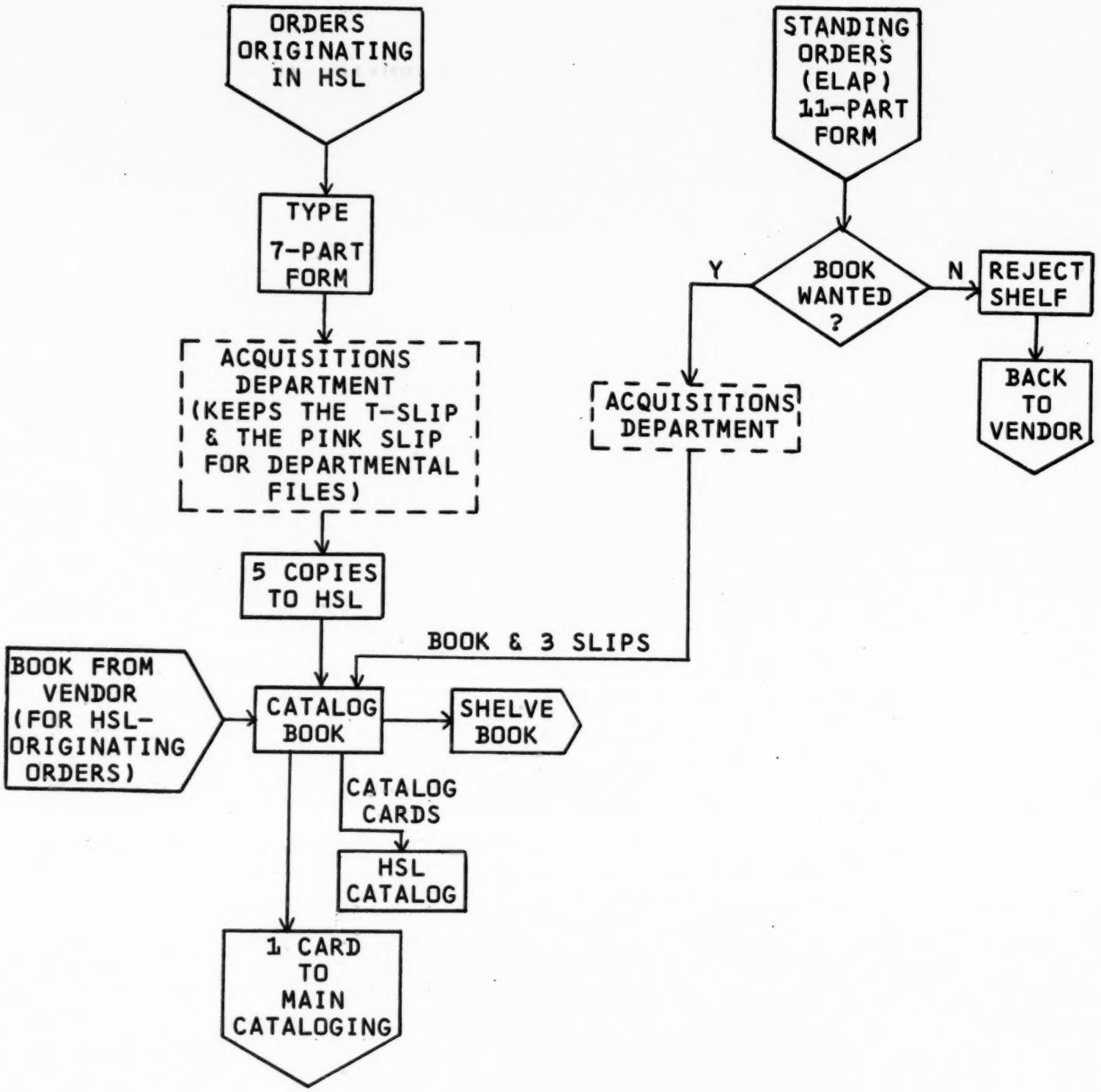
C. CATALOG MAINTENANCE SUPPORT GROUP

FIGURE 12. CONTINUED


BOOK, STREAMERS, INSTRUCTIONS FROM CATALOGING DEPARTMENT
REPAIR ITEMS, IF INSTRUCTED TO DO SO
STAMP BOOKS, AS INSTRUCTED
TO LIBRARY UNITS ORIGINATING REQUESTS
TO NEW LOCATIONS

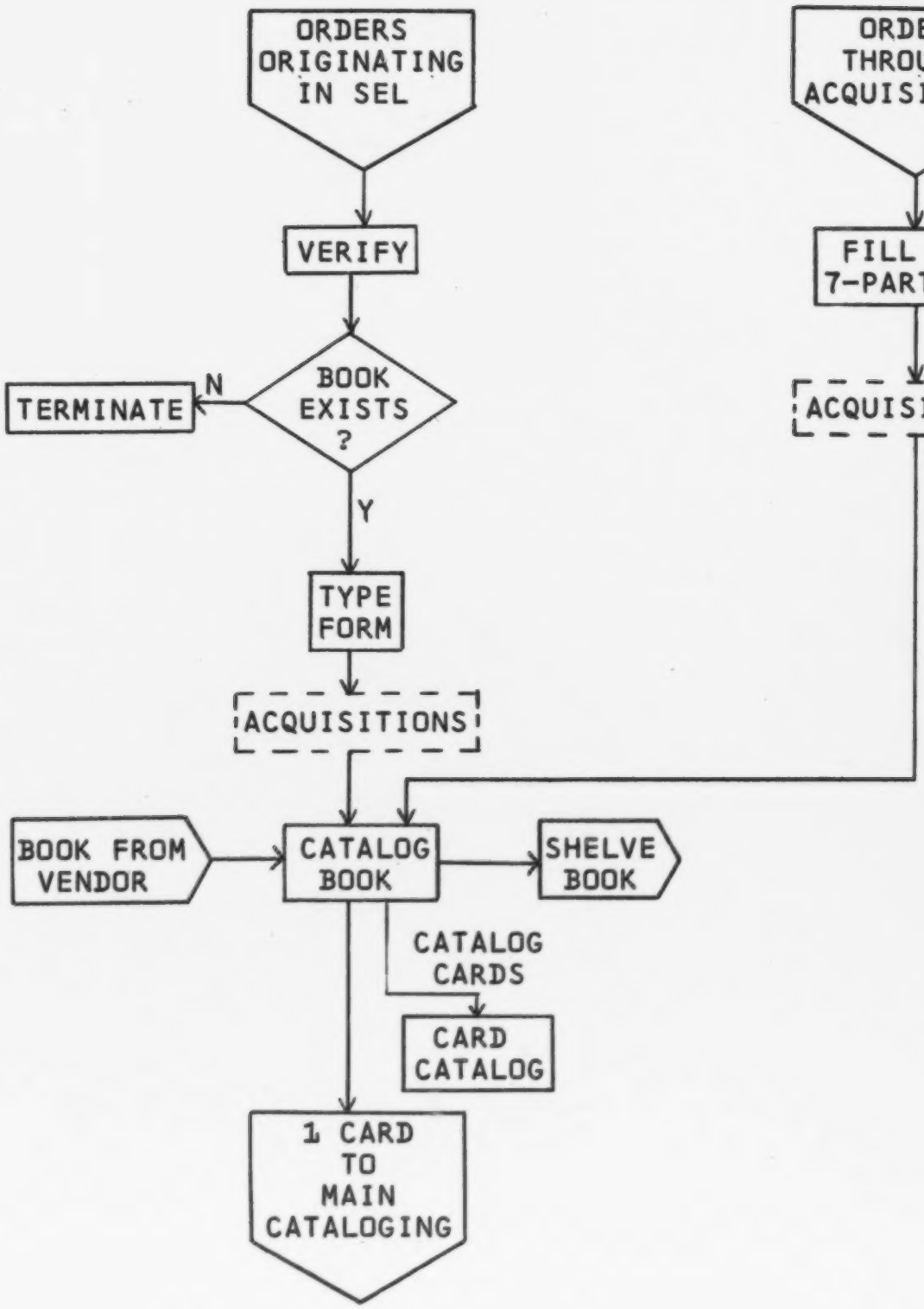
D. BOOK CARE

FIGURE 12. CONTINUED



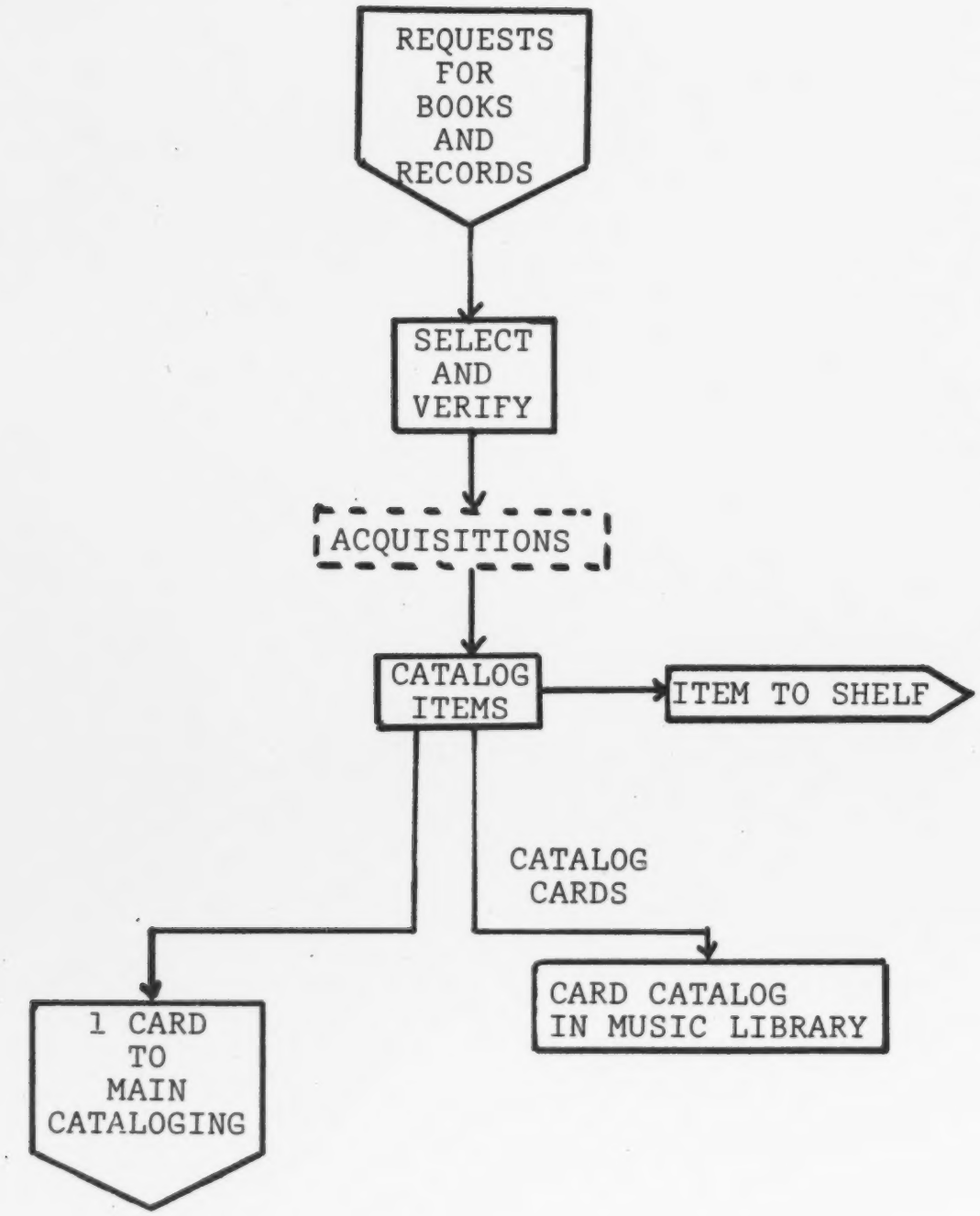
A. HEALTH SCIENCES LIBRARY

FIGURE 13. BRANCH LIBRARIES



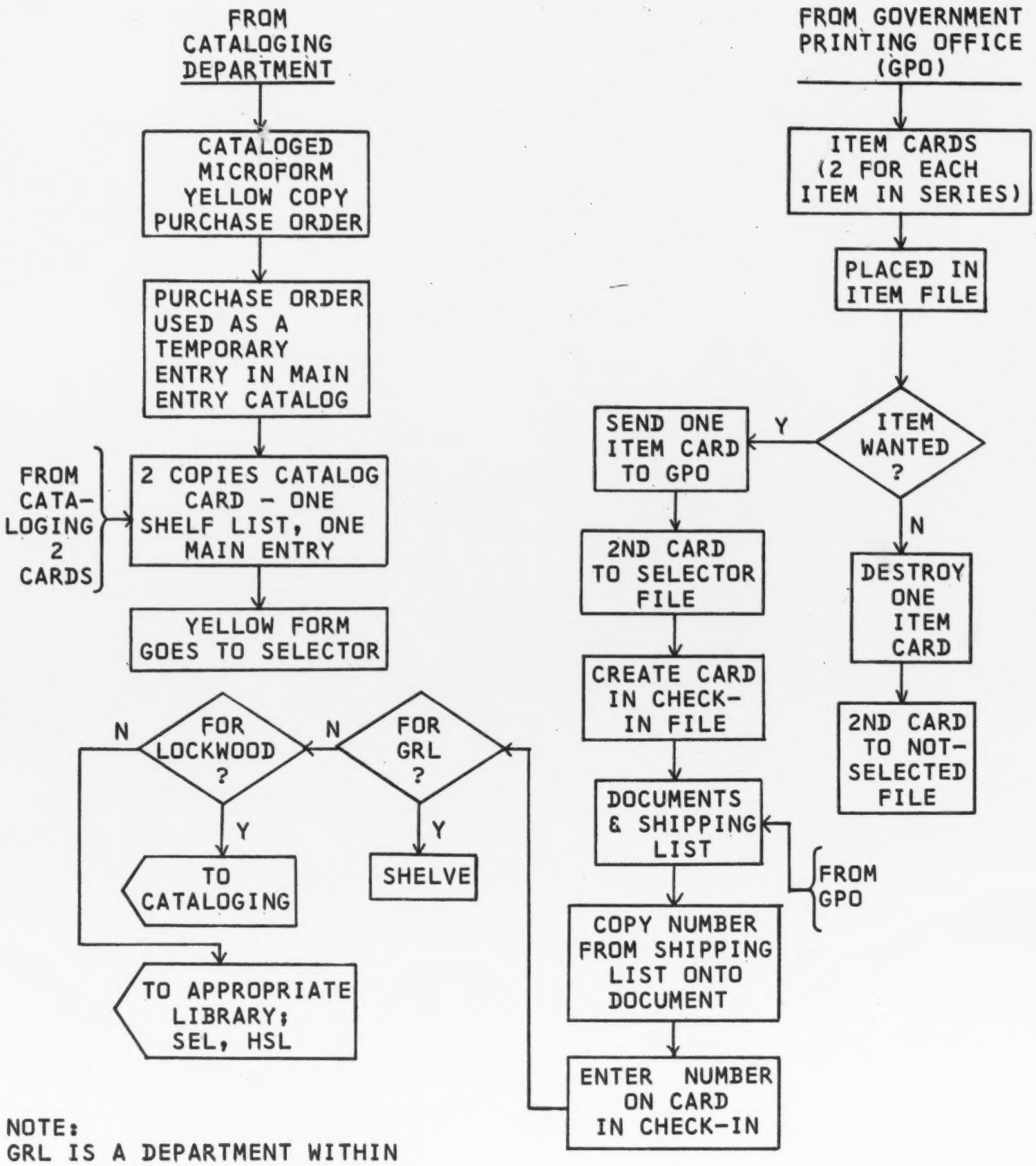
B. SCIENCE AND ENGINEERING LIBRARY

FIGURE 13. CONTINUED



C. MUSIC LIBRARY

FIGURE 13. CONTINUED


FROM CATALOGING DEPARTMENT
CATALOGED MICROFORM YELLOW COPY PURCHASE ORDER
PURCHASE ORDER USED AS A TEMPORARY ENTRY IN MAIN ENTRY CATALOG
FROM CATA-LOGING 2 CARDS
2 COPIES CATALOG CARD - ONE SHELF LIST, ONE MAIN ENTRY
YELLOW FORM GOES TO SELECTOR
N
FOR LOCKWOOD ?
N
FOR GRL ?
Y
Y
TO CATALOGING
SHELVE
TO APPROPRIATE LIBRARY; SEL, HSL
FROM GOVERNMENT PRINTING OFFICE (GPO)
ITEM CARDS (2 FOR EACH ITEM IN SERIES)
PLACED IN ITEM FILE
ITEM WANTED ?
Y
N
SEND ONE ITEM CARD TO GPO
2ND CARD TO SELECTOR FILE
CREATE CARD IN CHECK-IN FILE
DESTROY ONE ITEM CARD
2ND CARD TO NOT-SELECTED FILE
DOCUMENTS & SHIPPING LIST
FROM GPO
COPY NUMBER FROM SHIPPING LIST ONTO DOCUMENT
ENTER NUMBER ON CARD IN CHECK-IN

NOTE:
GRL IS A DEPARTMENT WITHIN THE PUBLIC SERVICES DIVISION.

D. GOVERNMENT REPORT LIBRARY (GRL)

FIGURE 13. CONTINUED

7.0 TABLES

TABLE I STAFF FOR TECHNICAL PROCESSING ACTIVITIES

ACTIVITY	PERSONNEL			TOTAL
	PROFESSIONAL	CLERICAL	TRAINEE	
Technical Services Administration	1	1	0	2
Acquisitions Department	2	19	0	21
Verification & Precataloging	1	5½	0	6½
Cataloging	21	20	2	43
TOTAL	25	45½	2	72½

TABLE II STAFF FOR ACQUISITIONS

DEPARTMENT/SECTION	PERSONNEL		TOTAL
	PROFESSIONAL	CLERICAL	
Acquisitions Administration	2	2	4
Orders	0	10	10
Finance & Receipts	0	7	7
TOTAL	2	19	21

TABLE III STAFF FOR PRECATALOGING & VERIFICATION

ACTIVITY	PERSONNEL		TOTAL
	PROFESSIONAL	CLERICAL	
Precataloging & Verification Administration	1	1	2
Requests ELAP.	0	4½	4½
TOTAL	1	5½	6½

TABLE IV STAFF FOR CATALOGING

DEPARTMENT/SECTION	PERSONNEL			TOTAL
	PROFESSIONAL	CLERICAL	TRAINEE	
Cataloging Administration	2	2½	0	4½
Serials	5	2	1	8
Arts & Letters	7	0	1	8
Social Sciences	6	0	0	6
LC	1	4	0	5
Support	0	11½	0	11½
TOTAL	21	20	2	43*

*Plus equivalents of $558/every two weeks for temporary services.